

2828

Patent

IN THE UNITED STATES PATENT AND
TRADEMARK OFFICE

Phoenix, Arizona

Applicant:	James R. Baird	Group:	2828
Serial No.:	10/028,436	Examiner:	Dung T. Nguyen
Filed:	12/28/2001	Atty Docket No.:	M40 1922 US
For:	GAIN GUIDE IMPLANT IN OXIDE VERTICAL CAVITY SURFACE EMITTING LASER		

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
POB 1450
Alexandria, VA 22313-1450

Dear Sir:

The following sections are being submitted for this Supplemental Information Disclosure Statement:

1. Preliminary Statements.

Applicant(s) submits herewith patents, publications or other information as the result of an International Search Report, that they believe may be material to the patentability of the claims under consideration in this application and in respect of which there may be a duty to disclose under 37 C.F.R. § 1.56.

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made (37 CFR § 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56 (37 C.F.R. § 1.97(h)), or that no other material information exists.

The filing of this Information Disclosure Statement is not to be construed as a representation that the references are prior art within the meaning of 35 U.S.C. §§ 102 or 103. Further, any explanation, if provided, is not to be construed as a representation that the references have been thoroughly reviewed. In particular, no representation as to the relevance of any portion of any reference is intended.

The filing of this Information Disclosure Statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

2. Form PTO-1449, List of Prior Art Cited by Applicant, citing one U.S. patent and two publications.

3. Attached to this Information Disclosure Statement is a copy of the International Search Report in the corresponding International Application, along with the cited references, for consideration by the U.S. Patent and Trademark Office. Copies of the references listed in the International Search Report that have not been provided are believed to define the general state of the art and are not considered to be of particular relevance.

4. Statement in accordance with 37 C.F.R. § 1.97(e):

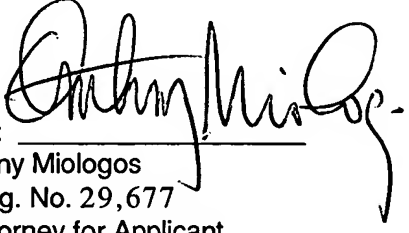
☒ (1) Each item of information contained in the Information Disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the Supplemental Information Disclosure statement; or

☐ (2) No item of information contained in the Information Disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the Supplemental Information Disclosure statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the Supplemental Information Disclosure statement.

6. The person making this statement is the attorney who signs below on the basis of the information supplied by the inventor(s) and the information in the attorney's file.

7. No fee is due, as this Information Disclosure Statement is submitted before the mailing of the first office action.

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By: 
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CERTIFICATE OF MAILING

I hereby certify that this correspondence (along with any paper referred to as being attached or enclosed) is being deposited on the date shown below addressed to the Commissioner for Patents, Box Issue Fee, POB 1450, Alexandria, VA, 22313-1450:

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Tony Miologos, Reg No. 29,677

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(USE AS MANY SHEETS AS NECESSARY)

Sheet 1 Of 2

COMPLETE IF KNOWN

Application Number	10/028,436
Filing Date	12/28/2001
First Named Inventor	James R. Baird
Group Art Unit	2828
Examiner Name	Dung T. Nguyen
Attorney Docket Number	M40 1922 US

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines where relevant passages or relevant figures appear
		Number	Kind Code ² (if known)			
		6064683	A	Johnson Ralph H.	05/16/2000	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines where relevant passages or relevant figures appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (if known)				
								✓

Examiner
Signature

Date
Considered

EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

(1) Unique citation designation number. (2) See attached kinds of U.S. patent documents. (3) Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). (4) For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. (5) Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. (6) Applicant is to place a check mark here if English language translation is attached.

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INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

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Sheet	2	Of	2
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COMPLETE IF KNOWN

Application Number	10/028,436
Filing Date	12/28/2001
First Named Inventor	James R. Baird
Group Art Unit	2828
Examiner Name	Dung T. Nguyen
Attorney Docket Number	M40 1922 US

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

[illegible]

Examiner Signature		Date Considered	
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EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

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